

JCO2 Rec'd PCT/PTO 29 MAR 2002

U.S. DEPARTMENT OF COMMERCE PATENT & TRADEMARK OFFICE

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| <b>Transmittal Letter to the United States<br/>Designated/Elected Office (DO/EO/US)<br/>Concerning a Filing Under 35 USC 371</b> |   | Attorney's Docket Number<br>HESS3006/REF/491 |
|  |   | U.S. Application Number<br>09/926,491        |
| International Application Number<br>PCT/GB00/01813   | International Filing Date<br>May 11, 2000 | Priority Date Claimed<br>May 11, 1999        |
| Title of Invention<br>STEROID COMPOUNDS WITH A C17-ALKYL SIDE CHAIN AND AN AROMATIC A-RING FOR USE IN THERAPY                    |   |  |
| Applicant(s) for DO/EO/US<br>HESSE et al.  |   |  |

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items under 35 USC 371:

1. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 USC 371.
2. ☒ An oath or declaration of the inventor(s) (35 USC 371(c)(4)). (☒ Executed ☐ Unexecuted)
3. ☒ A copy of Form PCT/DO/EO/905 dated: February 1, 2002.
4. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
5. ☐ An assignment document for recording.  
A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
6. ☐ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
7. ☐ A substitute specification.
8. ☐ A change of power of attorney and/or address letter.
9. ☐ A Verified Statement Claiming Small Entity Status.
10. ☐ A Request for Refund.
11. ☒ Surcharge in the amount of \$ 65.00.
12. ☐ Assignment recordation fee of \$ 0.00.
13. ☐ Processing fee of \$ for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

A check in the amount of \$ 65.00 to cover the fees is enclosed.

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to **Deposit Account Number 02-0200**. A duplicate copy of this sheet is enclosed.

04/03/2002 LLANDGRA 00000002 09926491

01 FC:254

65.00 DP

Respectfully submitted,

BACON & THOMAS, PLLC

By: Richard E Fichter  
 RICHARD E. FICHTER  
 Registration No. 26,382

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 Phone: (703) 683-0500

Date: March 29, 2002

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

HESSE et al.

Serial No.: 09/926,491

Filed: November 13, 2001

For: STEROID COMPOUNDS WITH A C17-ALKYL SIDE CHAIN AND AN  
AROMATIC A-RING FOR USE IN THERAPY

Attention:

PCT BOX MISSING PARTS

**RESPONSE AND SUBMISSION OF MISSING PARTS OF APPLICATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

This is in response to the Official Action dated February 1, 2002, in connection with the above-identified application.

The Official Action acknowledges receipt of the application, but indicates that a Declaration in compliance with 37 C.F.R. §1.497(a) and (b) is required. Applicants submit herewith a properly and fully executed Declaration which identifies the application by serial number, title and PCT international application number. A copy of form PCT/DO/EO/905 is submitted herewith along with the required \$65.00 surcharge.

It is further stated in the Official Action that a Sequence Listing in computer readable form has not been submitted as required by 37 CFR 1.821(e). However, Applicants note that there is no Sequence Listing in this application. Therefore, it is most respectfully requested that this requirement be withdrawn.

It is believed that the application is now in condition for examination. Accordingly, Applicants most respectfully request that an Official Filing Receipt be

issued and that the application be forwarded to the appropriate examining group for its examination in due course.

Respectfully submitted,

BACON & THOMAS, PLLC

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Richard E. Fichter  
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March 29, 2002



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

|                             |                       |                  |
|-----------------------------|-----------------------|------------------|
| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 09/926,491                  | Robert Henry HESSE    | HESS3006/REF     |

|                               |
|-------------------------------|
| INTERNATIONAL APPLICATION NO. |
|-------------------------------|

PCT/GB00/01813

|                 |               |
|-----------------|---------------|
| IA. FILING DATE | PRIORITY DATE |
|-----------------|---------------|

05/11/2000

05/11/1999

23364  
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CONFIRMATION NO. 6670

371 FORMALITIES LETTER



\*OC000000007368541\*

Date Mailed: 02/01/2002

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Indication of Small Entity Status
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Preliminary Amendments
- Request for Immediate Examination

*HESS3006*  
Date 2-12-02 Atty REF  
Action Due NTFMR 5  
Deadline 4-01-02  
Final Deadline 9-01-02

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$65 Surcharge for providing the oath or declaration later than the appropriate 30 months months from the priority date (37 CFR 1.492(e)) is required.
- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):
  - A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
  - APPLICANT MUST PROVIDE: *NO sequence present in application*

*REFUTE  
26,382*

- An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:
  - For Rules Interpretation, call (703) 308-4216
  - To Purchase PatentIn Software, call (703) 306-2600
  - For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is **\$65** for a Small Entity:

- **\$65** Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

FRANCINE YOUNG

Telephone: (703) 305-3662

**PART 1 - ATTORNEY/APPLICANT COPY**

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 09/926,491                  | PCT/GB00/01813                | HESS3006/REF     |